

September 30, 1997

# STRATEGIC PLAN

FY 1998 through FY 2007

With Operational Objectives through FY 2003

## Partnership for a Safer Future



Federal Emergency Management Agency



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# Foreword

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The first Strategic Plan in the history of the Federal Emergency Management Agency (FEMA) was published in December 1994. As part of the process of FEMA's renewal, "Partnership for a Safer Future" laid out the agency's mission and vision. We recognized that FEMA's role in making a safer future would require us to lay a solid foundation on which to build an effective organization of emergency management. We recognized that the organization would need to lead and support the Nation in a comprehensive, risk-based emergency management program. We also recognized that our mission to reduce the loss of life and property included protecting the Nation's institutions from all natural and man-made hazards. FEMA consequently began to direct efforts towards creating an agency that would restore the confidence of the American people and fulfill President Clinton's promise to "be there" when America needed us.

During the intervening years, FEMA has enjoyed much success in its renewal. Internally, we improved management systems and streamlined operations to function more efficiently and with more accountability. Programmatically, we redirected our services to give priority to identifying and meeting the needs of customers; and forged closer ties with State and local governments, other Federal departments and agencies, business and industry, voluntary organizations, and individual citizens. As a result, our response capability is stronger and more effective. Our delivery of individual disaster assistance and assistance to States and localities has been improved and the processes streamlined. Perhaps most important, the level of attention to and resources for reducing disaster losses by mitigating hazards have increased dramatically.

FEMA is committed to reducing administrative costs of disasters and improving financial controls associated with the Disaster Relief Program. We are concentrating activities to reduce costs through mitigation, because no other approach is as effective over the long term. We addressed flood hazards—the most frequent type of disaster—by launching two nationwide campaigns. The first was to increase the number of flood insurance policies and thereby decrease the costs of flood disaster relief to the Federal Government. The second was to purchase more than 20,000 parcels of property, voluntarily offered by owners, to remove homes and businesses from the floodplains across the United States. FEMA also led an important National Arson Prevention Initiative in response to the wave of church fires.

While we made operations more efficient and customer-oriented, we worked in concert with our partners to respond to 200 disasters, register 2 million Americans in need of Federal disaster assistance, provide assistance to more than 4,000 counties, and coordinate the distribution of \$12 billion in disaster relief funds.

We take well-earned pride in these accomplishments. They have made us ready for the next step: *to change the emergency management culture from one that **reactively responds** to disasters, to one that **proactively helps** communities and citizens **avoid** becoming disaster victims.*

FEMA will build on the successes of the past four years to lead the emergency management community into the 21<sup>st</sup> century. The concept of ***disaster-resistant communities*** has become a focus for delivering FEMA programs. We will bring together private industry, the insurance sector, mortgage lenders, the real estate industry, homebuilding associations, citizens, and others to create model communities in high-risk areas. We are beginning now to lay the groundwork. We will work with seven communities in high-risk areas that are committed to protecting their citizens, businesses, and infrastructure from disasters. Each community will address the hazards to which it is most vulnerable: flood, earthquake, hurricane, or fire. The

experiences of these communities will enable us to begin the development of transferable models of disaster-resistant communities to the rest of the country.

Other steps leading to the creation of disaster-resistant communities include establishing a Federal pre-disaster mitigation fund, and continuing to strengthen the public-private partnership for emergency management. The time has come for business to increase its investment in its own mitigation to protect against disaster damages that affect employees and profits. The concept of disaster-resistant communities can and will work if everyone affected by disasters participates in the partnership.

This strategic plan includes revisions to FEMA's 1994 strategic plan and fulfills the requirements of the Government Performance and Results Act (GPRA). GPRA concepts also have been extended to our grant agreements with the States through Performance Partnership Agreements (PPAs). As part of the PPA process, our State partners are engaged in a similar planning effort. The strategic goals and objectives contained in this plan will be reflected in future Agreements.

We continue to welcome comments and recommendations for better serving the needs of the emergency management community and the American people.

James L. Witt  
Director

*Written comments may be addressed to FEMA, Office of Policy and Regional Operations, Room 832, Washington, DC 20472.*

*To learn more about FEMA and how to protect yourself in disasters, visit FEMA's Website at [WWW.FEMA.GOV](http://WWW.FEMA.GOV) or contact the FEMA regional office nearest you. A map showing the location and address of FEMA regional offices at Appendix A.*

# Who We Are and What We Do: Helping People Before, During, and After Disasters

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Imagine that you were somehow able to watch, from a distance, a major disaster unfold. You would see suffering and devastation—but that would be only part of the story. You also would see lots of people move into action—people from government agencies, private organizations, businesses and volunteer groups. You would see them working as a team to keep essential services operating, provide first aid, food and water, clear debris, rebuild homes and businesses, and prevent the disaster from happening again.

Over time, you would begin to see a pattern to the activity. You would see how people work together when disasters occur. You would see “first responders” risking their lives to help others. You would see the results of planning and coordination in the execution of an effective response. And you would learn that communities and individuals could lessen the damage that disasters cause, and sometimes avoid it altogether.

The pattern behind the activity is called “emergency management.” It is the process through which America prepares for emergencies and disasters, responds to them, recovers from them, rebuilds, and mitigates their future effects.

FEMA is the governmental unit that has leadership responsibilities for the Nation's emergency management system. Local and State programs are the heart of the Nation's emergency management system, and most disasters are handled by local or State governments. When the devastation is especially serious and exceeds the capability and resources of local and State governments, States turn to the Federal Government for help. Once the President has declared a major disaster, FEMA coordinates not only its own response activities but also those of as many as 28 other Federal agencies that may participate. Federal agencies help States and localities to recover from disasters by providing services, resources, and personnel to perform necessary functions, such as transporting food and potable water to the area, assisting with medical aid and temporary housing for those whose homes are uninhabitable, and providing generators for electric power to keep hospitals and other essential facilities in operation. FEMA also works with States, territories, and communities during non-disaster periods to help plan for disasters, develop mitigation programs, and anticipate what will be needed when major disasters occur.

FEMA supports State and local emergency management programs by funding emergency planning, training emergency managers and local officials, conducting large-scale tests, called “exercises,” and sponsoring programs that teach the public how to prepare for disasters. FEMA provides technical assistance to communities that promote safe and wise land-use planning in designated floodplains as a condition for making Federal flood insurance available to residents in participating communities.

# The Agency

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FEMA has 2,400 full-time employees working throughout the country. It also has nearly 7,000 temporary disaster assistance employees (DAEs)—individuals who are ready to be called upon at a moment's notice to help when disasters occur. DAEs help to minimize disruption in routine and ongoing FEMA operations when disaster strikes. Another way in which FEMA minimizes disruption during disaster response is through the Executive Reserve force—a group of individuals appointed by the Director and having high-level management experience in industry, academia, and the military. Reservists volunteer their time as a service to the country. (The Executive Reserve program is undergoing review to determine whether it can be made more effective).

In addition to its headquarters in Washington, D.C., FEMA has 10 regional offices, area offices in Puerto Rico and Hawaii, and several facilities, such as the National Emergency Training Center in Emmitsburg, Maryland, and the Mt. Weather Emergency Assistance Center in Round Hill, Virginia.

FEMA's job is to lead the Country in developing and maintaining a national emergency management system that helps people protect themselves, their families, homes and businesses from all hazards. More specifically, FEMA:

- Builds preparedness by ensuring adequate plans are in place for the continuation of essential government functions during any emergency. A serious disruption of government services could severely hinder emergency management assistance to the American people.
- Promotes effective land-use planning, building codes and other means to minimize the effects of disasters such as floods, hurricanes, and earthquakes. FEMA provides technical assistance, nationwide flood-hazard mapping, training, and grants, directed at reducing the impact of disasters, to government agencies throughout the country.
- Coordinates the Federal response to disasters that exceed the capabilities of State and local governments, and assists communities to recover.
- Operates the U.S. Fire Administration, which supports the Nation's fire service and emergency medical services communities. The Fire Administration conducts training, public education, and research programs in subjects related to fire protection technologies and emergency response procedures. The Fire Administration's National Fire Data Center coordinates the Federal, State, and local partnership in fire incident data-collection and analysis, which is the National Fire Incident Reporting System.
- Operates the Federal Insurance Administration, which makes flood insurance available to residents of communities that agree to adopt and enforce sound floodplain management practices. More than 18,000 communities participate in the Federal flood insurance program. More than 3.8 million National Flood Insurance Program (NFIP) home and business policies are in effect.

In all of its activities, FEMA works in close consultation with partners in State and local governments, business and industry, the American Red Cross and other volunteer and non-profit organizations.

# Risks We Face

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Natural disasters will always happen. Since the late 1980s, the United States has incurred unprecedented devastation from major earthquakes, hurricanes, tropical storms, floods, landslides, volcanic eruptions, severe winter storms, and wildfires. More than 500 people lost their lives during these events. Moreover, an additional 4,500 people die each year due to residential and structure fire. As the population and built environment increases, so will the risk<sup>1</sup> to lives and property. Consider these situations:

- Floods occur in all 50 States and 8 U.S. territories. It is estimated that there are more than 9 million homes and other properties at risk from the 1 percent annual chance flood.
- At least 50 million homes may be located in counties at significant risk from earthquakes. Major earthquake risk zones are found in the West, central Mississippi Valley, New England, South Carolina, Hawaii, Puerto Rico, and the Virgin Islands. According to the U.S. Geological Survey, there is a 90-percent probability that at least one major earthquake will strike an urban area in California in the next 30 years.
- On average, 5 hurricanes strike the United States every 3 years. Hawaii and 18 States along the East and Gulf Coasts, as well as the Territories of the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of Puerto Rico, and the Northern Mariana Islands have the greatest risk of being impacted by a hurricane.
- In many parts of the United States, valuable real estate property is located in areas that are subject to frequent urban and wildland fires.
- Severe windstorms, often related to tornadoes and hurricanes, are a major cause of fatalities and property loss in the United States. Tornadoes, which affect almost every State, are the most common type of windstorm and result in the greatest amount of property damage in the central United States.
- More than 65 active or potentially active volcanoes exist in the United States. The cataclysmic Mount St. Helens eruption in 1980 caused approximately 60 deaths and over \$1.5 billion in damage.
- Landslides occur in every State as well as in Guam, Puerto Rico, the U.S. Virgin Islands and American Samoa. During the past 20 years, landslides have resulted in 38 disaster declarations. Roughly 40 percent of the population is exposed to the direct and indirect effects of landslides.

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<sup>1</sup> "Risk" means the potential losses associated with a hazard and is defined in terms of expected probability, frequency, magnitude, severity, exposure, and consequences. Hazards include natural disasters and accidental or man-caused events, including any natural catastrophe (hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, and drought), fire, explosion, or other catastrophe, including radiological ones, in any part of the United States that causes, or may cause, substantial damage or injury to civilian property or persons.

- The threat of technological or man-made hazards, such as the potential release into the environment of toxic materials, nuclear accidents, or the consequences of terrorism, have expanded dramatically throughout the 20<sup>th</sup> century.
- The United States historically has had one of the highest fire loss rates of the industrialized world—both in fire deaths and dollar loss. Most fires are relatively small, and their cumulative impact is not easily recognized. However, the loss of life and property resulting from fire far exceeds that of all other natural disasters combined.

# Mission

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The mission of the Federal Emergency Management Agency is to

***Reduce the loss of life and property and protect our institutions from all hazards by leading and supporting the Nation in a comprehensive, risk-based emergency management program of mitigation, preparedness, response, and recovery.***

- |                            |  |
|----------------------------|--|
| <b><i>Mitigation</i></b>   | Taking sustained actions to reduce or eliminate long-term risk to people and property from hazards and their effects.  |
| <b><i>Preparedness</i></b> | Building the emergency management profession to effectively prepare for, mitigate against, respond to, and recover from any hazard by planning, training, and exercising.  |
| <b><i>Response</i></b>     | Conducting emergency operations to save lives and property by positioning emergency equipment and supplies, evacuating potential victims, providing food, water, shelter, and medical care to those in need, and restoring critical public services. |
| <b><i>Recovery</i></b>     | Rebuilding communities so individuals, businesses, and governments can function on their own, return to normal life, and protect against future hazards.   |

These functions also represent the “phases” of emergency management and comprise what public officials and emergency management professionals call “Comprehensive Emergency Management” (CEM). In 1993, FEMA was reorganized to refocus agency effort on its mission and the strategies used by local, State, and Federal partners in the national emergency management system. At the same time, the FEMA budget structure was simplified, and activities changed to mirror the FEMA organization and, therefore, better support effective emergency management. FEMA’s organization, budget structure, strategic goals, and implementation strategies are directly aligned in support of the agency’s mission.



# Where We Plan to Go: Vision of a "Partnership for a Safer Future"

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The vision for FEMA is expressed in the title of the agency's strategic plan:

## *Partnership for A Safer Future*

The Nation's emergency management system is built on a partnership of local, State, and Federal governments, voluntary agencies, business and industry, and individual citizens focused on saving lives and property and reducing the effects of disasters regardless of their cause.

The **vision** of an effective "Partnership for a Safer Future" for America is:

- An informed public protecting their families, homes, workplaces, communities, and livelihoods from the impact of disasters;
- Communities built to withstand the natural hazards which threaten them;
- Governmental and private organizations with plans, resources, and rigorous training and exercising for disaster response; and
- Community plans, prepared in advance, for recovery and reconstruction after a disaster.

*Disasters affect everyone.*

*We all have a role in Emergency Management.*



# Values

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FEMA has eight core values that its employees strive to exemplify:

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|---|--|
| <b><i>Quality Work</i></b>              | We are dedicated to doing the best job possible.   |
| <b><i>Customer Service</i></b>          | We value our internal and external customers, and strive to meet their needs.  |
| <b><i>Creativity and Innovation</i></b> | New ideas and creativity are fundamental to continued growth, continuous improvement, and problem solving.                                   |
| <b><i>Teamwork</i></b>                  | Each employee has something of value to contribute. By working cooperatively together, we can better achieve the agency's mission and goals. |
| <b><i>Continuous Improvement</i></b>    | Sustained development of personal/professional skills and program delivery is key to better serving our customers.                           |
| <b><i>Public Stewardship</i></b>        | We are committed to prudent management of the taxpayers' money and dedication to providing the public with the highest quality service.      |
| <b><i>Diversity</i></b>                 | FEMA's employees are its most valuable resource. The diversity of their backgrounds, experiences, and skills enhances their value.           |
| <b><i>Partnership</i></b>               | Reaching out and engaging FEMA's partners collaboratively is essential to our success and enriches our products.                             |



# Overview of FEMA's Strategic Planning Template

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Over the 10-year period FY 1998 through 2007, FEMA will pursue 3 *strategic goals*. The first two strategic goals are mission-related and the third is organizational. Each strategic goal is supported by two *strategic objectives* with *performance measures*. These goals represent performance outcomes sought by the national emergency management partnership that FEMA leads and supports. Achievement of these goals and objectives will depend on many individuals and organizations at local, State, and Federal levels. FEMA is working with its partners at the State and Federal levels to adopt these goals in their own strategic plans and in PPAs.

To achieve each strategic goal, FEMA has formulated *strategies* that are implemented through *5-year operational objectives* (FY 1998 through FY 2003), which reflect FEMA's *major activities* and *resources* contributing directly to the partnership. Three strategies—mitigation, preparedness, and response/recovery—are aimed at achieving the two mission-related goals. Two strategies—customer service and administrative efficiency—are aimed at achieving the management operations goal. Each 5-year operational objective is listed under the strategy (and Goal) to which it relates. Each also is assigned to a responsible lead organization that is accountable for ultimate performance and development of a 5-year action plan of activities. Activities are achievable when anticipated resources are available. Resources are constrained to the out-year levels provided to the agency by the Office of Management and Budget (OMB).

An annual performance plan will be prepared for each FEMA budget request to Congress. The plan will illustrate how the annual performance goals (with performance indicators) and requested resources will contribute to 5-year operational objectives supporting a strategy to achieve a specific strategic goal. Resource levels will reflect the President's budget request to Congress.

The legislatively mandated programs of the Federal Insurance Administration and the U.S. Fire Administration provide a unique focus within the Federal government for flood and fire programs, respectively. These programs do not appear as separate strategies, but are reflected in multiple mission-related strategies.

The Federal Insurance Administration, which operates the NFIP, provides flood insurance to accelerate recovery from floods, mitigate future losses and reduce the personal and national costs of flood disasters. It contributes to achievement of the mitigation and the response/recovery strategies. The U.S. Fire Administration provides training, public education and research related to fire protection technologies and emergency response procedures. It contributes to achievement of the preparedness and mitigation strategies.

FEMA's mission-related strategic goals and associated strategies are:

**Strategic Goal 1** Protect lives and prevent the loss of property from all hazards.

Strategies                      Mitigation (supported by fire and insurance programs), and Preparedness (supported by fire programs);

**Strategic Goal 2** Reduce human suffering and enhance the recovery of communities after disaster strikes.

Strategies                      Response and recovery (supported by insurance programs)

FEMA's management operations goal and strategies are:

**Strategic Goal 3** Ensure that the public is served in a timely and efficient manner.

Strategies                      Customer service, and Administrative efficiency.

In the sections that follow, each strategic goal is described. Descriptions include (1) associated strategic objectives and their performance measures, and (2) strategies and their associated 5-year operational objectives, shown by lead organization. External factors affecting achievement of the goals and objectives, as well as resources required, are addressed in separate sections of this Plan. The Annual Performance Plan illustrating how goals and objectives will be achieved is a separate document.

Although legislation is pending that would, if enacted, affect FEMA's public assistance programs, this plan is necessarily predicated on extant authorities.

# Strategic Goals and Strategies

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## **Strategic Goal 1:** ***Protect lives and prevent the loss of property from all hazards.***

The national emergency management community works to protect lives and prevent the loss of property through the implementation of pre-disaster preparedness and mitigation measures. FEMA coordinates and supports its emergency management partners in planning, marketing and carrying out initiatives. Over time, such measures as early warning systems, evacuation plans, building codes, fire prevention technology, and land-use policies reinforced by insurance incentives, have reduced the loss of life and property from disasters.

### **Strategic Objective 1.1. By FY 2007, reduce by 10 percent the risk of loss of life and injury from hazards.**

**Performance Measure.** For this objective, risk will be measured by use of a model of probable future loss of life and injury using a standardized, nationally applicable loss-estimation methodology developed by FEMA, called “HAZUS” (Hazards United States). Initially, model results will be limited to probable future loss of life and injury from earthquake hazards. The baseline of probable future loss of life and injury from earthquake hazards will be available in FY 1999. The baseline will then be broadened by FY 2000 into an “all-hazard” methodology to estimate the probable future loss of life and injury from all other natural hazards, including earthquake. The HAZUS model will be continually refined as actual disasters occur and improved risk-assessment methods are developed.

Although data on actual loss of life are available, it is necessary to use a model since actual loss data do not reflect the risk of loss of life and injury.

### **Strategic Objective 1.2. By FY 2007, reduce by 15 percent the risk of property loss and economic disruption from hazards.**

**Performance Measure.** Successful accomplishment of this objective will be to minimize property loss and economic disruption by focusing on disaster-resistant communities and the *mitigation* of hazards before they occur, and on *preparedness* for risks that cannot be prevented. Focusing on safer building techniques and improving the communities’ preparedness for the risks they face should have a direct impact on reducing the risk of loss of property and economic disruption.

This objective will be measured in two ways. The first way is by measuring risk in terms of direct and indirect dollar costs.

Before we can use actual historic data for measuring property loss and economic disruption, problems with data inconsistency and gaps in data must be addressed. The data for property and economic losses is complicated further by the lack of a standard, accepted definition for those who collect and analyze these data in both the pre- and post-disaster environments. To compensate for uncertainty about the data, FEMA intends to model risk-reduction progress using HAZUS to estimate potential property damage and direct and indirect dollar losses associated with the damages.

Estimates of national losses from earthquakes will be made in FY 1999. The results will be compared, region by region, after mitigation projects are implemented in conjunction with implementation of the Disaster-Resistant Communities concept, or after mitigation projects are undertaken independently by States or communities. Comparison of FY 1999 data (by region) with data collected after mitigation programs are instituted will yield a risk-reduction percentage. Loss data from actual disasters will be used to establish benchmarks against which to measure progress, and as the basis for calibrating estimation formulas used in the methodology. Flood-loss data, collected through the NFIP, also will be analyzed and evaluated as a measure of flood risk-reduction effectiveness. Wind and flood loss-estimation modules will be completed and available as measures by FY 2000.

The second way of measuring this objective will be to assess State and local capability against a baseline, using the Capability Assessment for Readiness (CAR) process initiated in FY 1997. The output of this effort will be used to create national standards for emergency management by which deficiencies can be identified and priorities for elimination can be set. Elimination will result in at least a 20 percent improvement in the emergency management capability of State and local governments by 2007, thereby reducing the risk of loss of life and property.

Property, for the purpose of this performance measure, is defined to include commercial and public buildings and facilities, private homes, and utility and transportation systems.

## Mitigation Strategy

Mitigation actions protect life and property and reduce long term risks from hazards. Typical Federal mitigation actions involve supporting local government officials' efforts to: promote the construction or siting of structures so that they have reduced chances of being impacted by disasters; develop, adopt, and enforce appropriate building codes and land use planning standards; and take action to correct inappropriate building designs.

Mitigation is achieved primarily through community actions, which can be greatly enhanced by the support of individuals, public-private partnerships, and Federal and State assistance. FEMA's strategy for mitigation focuses on making it as easy as possible for communities and their citizens to take informed and effective mitigation actions. FEMA will do this by leading a national effort to:

- Identify and improve the understanding of the Nation's hazards and their risks, by community;
- Develop or improve techniques which mitigate those risks;

- Provide an environment conducive to applying those techniques;
- Provide financial and technical assistance—both *pre-* and *post-disaster*—to facilitate application of those techniques; and
- Support the development of incentives and disincentives which make application of those techniques a social, political and/or economic priority.

Insurance concepts and methods are also used to reduce the nation’s vulnerability to natural hazards. The NFIP is implemented so that insurance and floodplain management policies and operations are mutually reinforcing.

FEMA’s mitigation strategy has four areas of focus:

1. *Federal Mitigation.* FEMA will lead the effort to ensure that the authorities and resources of the federal government which affect the built environment are supporting, to the maximum degree practicable, community-based mitigation decisions/actions.
2. *State Mitigation.* FEMA will establish a collaborative partnership with State-level mitigation stakeholders to develop criteria and incentives for the establishment of comprehensive State mitigation initiatives which marshal the resources and authorities of State government to support community-based mitigation decisions/actions.
3. *Community Mitigation.* FEMA will establish a collaborative partnership with community-level stakeholders to develop a national initiative to reduce risk through voluntary, community-based, incentive-driven decisions/actions.
4. *Private/Public Mitigation Partnership.* FEMA will lead an effort to identify and maximize the contributions of the private sector to the national mitigation effort—through business-driven construction and land-use decisions, as well as incentives for mitigation decisions/actions through insurance and financial market instruments.

## 5-Year Operational Objectives

**5-Year Operational Objective:** Ensure that at least 50 percent of all principal Federal departments and agencies that influence the built environment (including FEMA) document the annually improved contribution their programs have made in measurably reducing the Nation’s risk from natural hazards.

*This objective is designed to leverage the resources of the Federal Government to reduce the risk in Federal facilities and, through Federal actions (regulation, financing, policies, etc.), foster mitigation at State and local levels. FEMA believes that natural-hazard risk reduction through mitigation is a national responsibility and, through this component of the mitigation strategy, FEMA will work to assure that the national government is leading by example and sending a consistent message of support for mitigation through its actions.*

**Lead Organization:** Mitigation Directorate

**Performance Measure:** Improved risk reduction effectiveness of Federal programs documented in a periodic Federal mitigation report.

**5-Year Operational Objective:** Ensure that at least 25 percent of all States, Commonwealths, and/or Territories encourage and establish an accelerated pattern of natural-hazard risk reduction within their jurisdictions.

*This objective is designed to leverage the resources of State government. Through FEMA's PPAs with the States, common goals for protecting life and property through mitigation can and should be achieved through State-specific objectives tied to national performance measures.*

**Lead Organization:** Mitigation Directorate

**Performance Measure:** The percentage of States voluntarily developing and implementing multi-hazard mitigation initiatives, documented through capability and inventory assessments, demonstrates a trend towards increased risk reduction. A systematic approach to evaluating risk in conjunction with the States will serve as a basis for prioritizing the efforts.

**5-Year Operational Objective:** Increase to 20 the percentage of "at risk" communities that encourage and establish a voluntary, incentive-driven, community-based mitigation program that emphasizes public/private partnerships.

*This objective is designed to leverage the resources of local government that directly control the design, maintenance, and rehabilitation of buildings and infrastructure. FEMA expects to achieve its greatest reduction of natural hazards risk by reinventing the National Flood Mapping Program and by focusing on high-risk communities, such as those with frequent flooding or high seismic hazards, and then transferring the knowledge to other communities.*

**Lead Organization:** Mitigation Directorate

**Performance Measure:** Percentage of "at risk" communities participating in a voluntary, incentive-driven, community-based mitigation initiative through which risk reduction actions are documented.

**5-Year Operational Objective:** Reduce by 5 percent the rate of loss of life and property from fire and fire-related hazards.

**Lead Organization:** United States Fire Administration

**Performance Measure:** Trends in fire-related loss, utilizing data from the National Fire Incident Reporting System (NFIRS) and other nationally recognized sources of loss of life and property due to fire. The rate of loss will be based on population density, i.e., deaths per million. Data from calendar year 2001 will be used, the most recent year for which statistics will exist.

**5-Year Operational Objective:** Through NFIP insurance and floodplain management activities, reduce expected annual flood disaster losses by \$1 billion.

**Lead Organization:** Federal Insurance Administration

**Performance Measure:** The measure will be based on the difference between the loss experience of insured, compliant post-Flood Insurance Rate Map (FIRM) structures versus the experience of insured pre-FIRM and non-compliant structures. Total improvement will be gauged by inferring reduction in losses to the estimated total population of buildings constructed to meet Program standards in participating communities.

## Authorities

The legal authority supporting the mitigation strategy includes four principal statutes: (1) the Earthquake Hazard Reduction Act of 1977, as amended; (2) the Fire Prevention and Control Act of 1974, as amended; (3) the National Flood Insurance Act of 1968, as amended; and, finally, (4) the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended. These statutes, operating in combination, provide the principal pre-disaster and post-disaster mitigation authority for FEMA's programs, functions and activities. These statutes through authorization of technical assistance, research, disclosure of hazards to the public, and provision of grants are designed to promote the concept of mitigation, principally in terms of minimizing average annual damages from natural disasters.

## Technology

FEMA intends to leverage new technologies toward the accomplishment of its strategic goals to the maximum extent possible. Geographic Information System (GIS) technology is fully employed as a tool to support decision-making in all aspects of emergency management (mitigation, preparedness, response, and recovery). HAZUS is based on an integrated GIS concept. FEMA has already provided this tool and the GIS technology on which it is based to all State emergency management organizations.

FEMA is also using the latest advances in remote-sensing technologies to support its national floodplain mapping program and to assist in all-hazard risk assessments.

## Program Evaluation

FEMA will evaluate the efficiency and effectiveness of its mitigation programs in both pre- and post-disaster environments through regular contacts with State partners and other mitigation program end users.

FEMA periodically asks outside experts, such as those from the National Academy of Sciences and other nationally recognized “think tanks,” to review its programs. In FY 1999, FEMA intends to commission the Academy to conduct a study on the true cost of disasters. This study will address the issues that currently preclude FEMA from using actual data as the bases for performance measurement.

## Preparedness Strategy

In partnership with the States, FEMA will foster innovation and improvement to reduce the gap between the capabilities required to respond to disasters and those in place. The focus of the preparedness strategy will be on risk identification; emergency management professional development; establishment of capability performance measurements and assessment through tests, exercises and real world experiences; planning and public education; and partnerships with the private sector and other nations. A collaborative framework of Federal, State, local, and private-sector (business, industry, and nonprofit organizations) resources will be used to yield a general reduction in the risk of loss of life and property from all hazards and support development of disaster-resistant communities. The strategy will foster a decentralized capability for State and local preparedness and response for all but the most catastrophic disasters.

## 5-Year Operational Objectives

**5-Year Operational Objective:** Improve State emergency management capability by 10 percent.

**Lead Organization:** Preparedness, Training and Exercises

**Performance Measure:** The baseline for this measure is 1997 data contained in the State Capability for Readiness Report. Capability is measured in the following areas: law and authority; hazard identification and risk assessment; hazard management; resource management; planning; direction, control, and coordination; communications and warning; operations and procedures; logistics and facilities; training; exercises; public education and information; and finance and administration. Annual assessments will allow States and localities to continually identify critical emergency management deficiencies, take necessary corrective action, and build stronger programs of mitigation, preparedness, response, and recovery.

**5-Year Operational Objective:** Reduce by 5 percent the rate of loss of life and property from fire and fire-related hazards.

**Lead Organization:** United States Fire Administration

**Performance Measure:** Annual reductions in the rate of loss of life and property using data from the NFIRS and other nationally recognized sources. The rate will be based on population density, i.e., deaths per million, using data from 2001.

**5-Year Operational Objective:** Provide emergency alerts and emergency response communications nationwide or regionally by such means as the National Warning System (NAWAS), Emergency Alert System (EAS), and GIS.

**Lead Organization:** Information Technology Services Directorate

**Performance Measure:** Dissemination of NAWAS emergency alerts within 3 minutes of receipt; relay of Federal emergency messages over the EAS within 10 minutes of notification; provision of preliminary hurricane damage assessments and storm tracking modeling data to States within 24 hours of a request; and delivery of maps, models, data and analyses as requested to FEMA and emergency partners within 72 hours of notification.

**5-Year Operational Objective:** Ensure continuity of government and a response capability required for national security emergencies.

*This objective will be implemented through FEMA's performance of its role as Executive Agent for Continuity of Government (COG); participation in national security emergency preparedness programs, including interagency agreements and systems used for supporting, locating, and identifying key government officials; upgrading facilities and systems at alternate Federal Government locations; and supporting the Director of FEMA, the White House, and National Security Council on national security policy and programs.*

**Lead Organization:** Office of National Security Coordination

**Performance Measure:** Customer feedback and approval relative to successful execution of agreements; provision of materials and services; and delivery, testing, and operation of applicable support systems; timely publication of guidance in coordination with Federal Executive Branch departments and agencies; successful demonstration of improved facilities and systems to managers and users; acknowledgement of requests for advice/assistance within 24 hours; delivery of products and services within agreed-upon time frames; and identification and resolution of intra-agency national security issues.

## Authorities

The legal authority supporting the preparedness strategy includes (1) the Earthquake Hazards Reduction Act of 1977, as amended; (2) the Fire Prevention and Control Act of 1974, as amended; (3) the National Flood Insurance Act of 1968, as amended; (4) the National Security Act of 1947, as amended; and (5) Title VI of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended. These statutes authorize training, grants, planning and other technical assistance to Federal, State, and local emergency planners and responders, including courses, exercises, and other types of assistance to facilitate effective and efficient response and recovery operations in advance of the emergency or disaster. Additionally, through the NFIP pre-disaster operation of an insurance mechanism allowing the purchase of flood policies allows individual citizens to anticipate and budget for financial protection against flood losses.

## Technology

To implement the preparedness strategy, FEMA uses the following technology:

- **National Emergency Management Information System (NEMIS), an integrated automation system to support FEMA's disaster mission:** NEMIS will incorporate the CAR and will facilitate the analysis of information collected on State capability;
- **Distributed Group Collaboration System:** This software will be used to review, critique, and improve the CAR instrument, analyze and apply the lessons learned from CAR analyses, conduct State and local surveys, and review the Emergency Management Institute curriculum; and
- **Emergency Information Infrastructure Partnership:** This established website will identify issues pertaining to emergency management capability development from interested parties throughout the world.

## Program Evaluation

Preparedness performance will be evaluated through exercises that demonstrate Federal, State, and local capabilities. The schedule of planned exercises is contained in the three-year Comprehensive Exercise Plan. In addition, CAR data will be used to determine progress in improving capability.

### Strategic Goal 2.

*Reduce human suffering and enhance the recovery of communities after disaster strikes.*

FEMA works with its emergency management partners to develop and maintain an integrated operational capability to respond to and recover from the devastation of disasters. When disaster strikes, the priorities are to ensure that the immediate needs of all disaster victims are provided for and that communities are able to begin the process of rebuilding and returning to normal as soon as possible.

## **Strategic Objective 2.1. By FY 2007, reduce by 25 percent human suffering from the impact of disasters.**

**Performance Measures.** For the purpose of this objective, “human suffering” is defined as the feeling of loss of control over one’s physical and economic state.

The objective will be measured annually by:

1. an assessment of the percentage of times that, within 12 hours of a disaster, the agency and its partners act on all identified State and local government requests to meet disaster victims’ needs for water, food, and shelter. The intention is to coordinate the provision of these basic needs within 72 hours of the disaster;<sup>2</sup>
2. the annual percentage increase over the 1998 baseline of NFIP policies in force; and
3. the average length of time taken to provide individual assistance checks to eligible applicants.

## **Strategic Objective 2.2. By FY 2007, through facilitated restoration of eligible public services, increase by 20 percent the speed with which individuals, businesses, and public entities are enabled to recover from disasters.**

**Performance Measure.** The performance measure will evaluate the average length of time before which State and local governments are able to provide basic public services that enable communities to begin to recover following a disaster; e.g., access to primary roads, public transportation, health facilities, utilities, water treatment, and public schools. The average length of time for the delivery of assistance to State governments will also be assessed.

Each of the performance factors will be benchmarked and monitored during presidentially declared disasters. The annual average for each factor will be indexed into a single performance measure. FY 1998 is the baseline year.

One year after a non-flood event, long-term effects of disaster assistance on lives of affected individuals will be measured.

## **Response and Recovery Strategy**

Major weather and technological events during the past decade have resulted in an average of 41 presidential disaster declarations per year, resulting in billions of dollars of individual and public assistance. The statistics, however shocking, do not reveal the immense personal trauma,

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<sup>2</sup> The effect of unusual situations will be considered when measuring against the standards.

destruction, and loss affecting those whose lives are forever changed by these events—nor do they measure the humanitarian response and recovery efforts that come together to stabilize governments and restore community and individual self-sufficiency.

Response and recovery requires the efforts of many State and Federal agencies; private, public, and non-profit organizations; and individuals. Following a presidential disaster declaration, 28 Federal agencies support State and local organizations through one or more of the twelve Federal Response Plan (FRP) Emergency Support Functions. Private and voluntary organizations provide appreciated goods and services to disaster victims.

All of these efforts are coordinated by FEMA's Regional and Headquarters staff and managed by a presidentially appointed Federal Coordinating Officer. The combined *response* efforts assure the provision of safe water, food, and shelter to disaster victims and assist in the restoration of basic, community services from sewage treatment to accessible roads. The *recovery* effort aids the long-range restoration of eligible facilities including public roads, bridges, and hospitals. Such efforts support the restoration of economic and community stability.

Through means such as standby resources, community outreach programs, teleregistration, information centers, and town meetings, FEMA signifies its commitment to provide, to the fullest extent that it can, support to its customers. This is accomplished by response and recovery actions to:

- collect and provide information to the President in determining the need for a disaster declaration;
- conduct emergency operations to save lives and property by positioning emergency equipment, supplies, and personnel;
- provide accurate, timely public information;
- gather, analyze, and use data for the determination of applicant eligibility;
- provide, in collaboration with FEMA partners, individual and public assistance for immediate needs and long-term recovery;
- manage loan and grant application, approval, and disbursement;
- assist in the restoration of communities so that individuals, businesses, and governments can function on their own;
- manage response and recovery operations to assure compliance with laws and regulations; and
- provide technical assistance to States.

## 5-Year Operational Objectives

**5-Year Operational Objective:** Ensure that Federal emergency management support capabilities will meet the following performance standards, and provide FEMA services to disaster communities with an increase in timeliness over 1998 baselines.

**Lead Organization:** Response and Recovery Directorate

**Performance Measure:** FEMA surveys and review of selected reports indicating the following performance: (1) act within 12 hours on all requests to meet needs of disaster victims for water, food, and shelter; (2) process disaster housing applications from eligible individuals within 5 to 8 days of receipt; (3) make available to states 50-percent of the funding for identified emergency work projects within 30 days of application; (4) make 80 percent of public assistance funding determinations, on average, within 180 days; (5) close out the Public Assistance Program for 90 percent of disasters within two years of the declaration date.

**5-Year Operational Objective:** Through planning, training, and exercising, improve by 25 percent the Federal Government's capability to augment State and local response to disasters.

**Lead Organization:** Preparedness, Training and Exercises

**Performance Measure:** Assessment methods will include the CAR; regional, State, and local self-assessments; and corrective actions identified through exercises and surveys. The Corrective Action Program Support System will be used to track corrective actions identified and completed.

**5-Year Operational Objective:** Increase the NFIP policies-in-force an average of 5 percent per year.

**Lead Organization:** Federal Insurance Administration

**Performance Measure:** Annual increases as shown in year-end NFIP policies-in-force reports, compared to the FY 1997 year-end policy count currently estimated to be 3,827,750.

**5-Year Operational Objective:** Expedite disaster operations with enterprise-wide information and processing services provided through NEMIS.

**Lead Organization:** Information Technology Services Directorate

**Performance Measure:** Implementation of a fully functional NEMIS, having operational readiness for services in support of mission critical activities.

On implementation of Version I, NEMIS will expedite disaster response and recovery activities by providing standard workflow procedures, automated business processes, and an enterprise database that allows dispersed entities to use and share data. NEMIS will interface with FEMA's personnel, finance, logistics, and acquisition systems. The system will have the flexibility to operate as a portable stand-alone system as well as being scalable to a fully interconnected distributed system for large disasters, including providing a common toolbox for automated interactions and business transactions with States, other Federal agencies, and voluntary organizations.

**5-Year Operational Objective:** Improve the timely, reliable and cost-effective delivery of telecommunications and data infrastructure to any FEMA location by 20 percent.

**Lead Organization:** Information Technology Services Directorate

**Performance Measure:** Implementation of modernization plan for the FEMA Switched Network (FSN) by year 2002 to deliver full LAN/WAN backbone services, reduce maintenance costs, consolidate disparate functions, interface administrative and program operations, extend access of data services to entities outside FEMA, add new services and locations, and integrate FEMA's enterprise data network with the FSN voice network. Delivery of full range of LAN/WAN and infrastructure support to any location anywhere within 24 hours of a request.

**5-Year Operational Objective:** Continue to provide exemplary operational support and services in the areas of security, logistics, occupational safety and health, and program services for all FEMA employees, the emergency management community, and the public to ensure successful accomplishment of FEMA's all-hazards mission.

**Lead Organization:** Operations Support Directorate

**Performance Measure:** Feedback from agency-wide customer service surveys.

## Authorities

The legal authority supporting the response and recovery strategy includes these principal statutes: (1) the National Security Act of 1947, as amended; (2) The National Flood Insurance Act

of 1968, as amended; and (3) the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended. These statutes, in combination with the technical assistance functions of other departments and agencies (detection, monitoring, and decontamination of private citizens and their property), ensure that Federal assistance to State and local governments will be available to ensure that continuity of government, provision of financial and technical assistance, insurance, and other assistance in the form of mass care, shelter, medical and food assistance is available through the resources of the Federal Government by FEMA in coordination with the other Federal departments and agencies. These statutes, together with a number of executive orders that delegate presidential authority and provide interpretive operational guidance, fulfill the function under Article I, §8 of the Constitution to honor the constitutional mandate to provide for the common defense and promote the general welfare.

## Technology

To implement more efficient and effective response and recovery strategies, FEMA continues to integrate high-performance technology into its data collection and program management activities. Resources in use, or being completed, include:

- ***GIS***: sophisticated mapping technology enables high-quality imaging of areas affected by disasters;
- ***Geographic Processing System***: enables the location of damage sites and floodplains to be pinpointed;
- ***Automated Disaster Assistance Management System***: supports DFO management of information about individual and public assistance applications;
- ***Automated Construction Estimate Software***: palm pad technology allows housing inspectors to estimate and forward to a central area damage estimates based on local information;
- ***Integrated Financial Management system***: allows tracking of budget accounts;
- ***Disaster Assistance Reporting and Information System***: captures and archives pertinent disaster-relief data;
- ***Automated Teleregistration***: centralizes applicant registrations;
- ***Helpline***: centralizes disaster applicant information, and is expected to consolidate applicant information, enabling more efficient responses to applicant inquiries;
- ***National Processing Centers***: centralizes processing of applicant claims;
- ***Computer networks***: connect headquarters, regional offices, and DFOs to facilitate information sharing;
- ***National Emergency Management Information System*** (in development): expected to make possible cross-references among the systems listed above; and

- ***Logistics Information Management System:*** provides for agency management of personal property, disaster materiel, and logistics information.

## Program Evaluation

Response and recovery performance is evaluated in a number of ways. At the DFO, the Federal Coordinating Officer (FCO), supported by Emergency Support Function (ESF) #5—Information and Planning, leads daily planning sessions with FEMA, State, and other Federal agency staff and external partners. These meetings serve as a means to ensure that critical issues are identified, discussed, and resolved in an expedient manner.

Following the closure of the DFO, the FCO is required, under FEMA Instruction 8610.2, to submit a report that details the major national issues affecting response and recovery performance to provide data for improved performance in similar future disasters. (Other agencies have similar internal reporting requirements.) The FCO's information is distilled into reports to agency senior staff, program officers, and, where relevant, to other Federal agency contacts. At the request of senior staff, group reviews of disaster responses are conducted in collaboration with other Federal agencies. To enhance the collaboration of all Federal partners, FEMA also provides a forum for additional exchange of response information among FRP partners.

Since 1994, FEMA has conducted surveys of applicants to determine their overall satisfaction with FEMA's services and their specific satisfaction with human services program areas. Additional survey questions and instruments will be developed within the framework of the agency's Strategic Plan to further assess satisfaction, including that of FEMA's State partners. Survey methodology includes the use of focus groups and the development and use of interview protocols and survey instruments.

These and other evaluation techniques provide FEMA and its partners with data from which senior managers can make informed policy and guidance decisions to further improve the quality and delivery of the assistance provided.

## Strategic Goal 3.

### *Ensure that the public is served in a timely and efficient manner.*

FEMA is striving to become an efficient, customer-driven organization. We seek to make customer needs the basis for agency long-term planning and day-to-day management and decision-making. Goal 3 underlies this concept and serves to guide FEMA's internal management processes. The goal's purpose is to ensure that customers receive the highest quality service while the agency continues to reduce the cost of delivering its services. This applies to organizations within the agency as they serve each other as well as the agency serving its external customers. The goal is aimed at achieving a high degree of customer and employee satisfaction, loyalty, and support for the agency while simultaneously reducing administrative costs. This can only be achieved through a process of "continuous improvement." This process involves:

- Customer feedback—listening to customers to identify their needs, expectations, and levels of satisfaction at the beginning of the continuous improvement cycle and after process improvements are made;
- Benchmarking—emulating similar processes from those considered the "best in business";
- Setting service standards—performance targets to ensure quality of service delivery and inform customers regarding the level of service they can expect;
- Business process re-engineering—simplifying business processes focusing on what adds value for the customer to reduce red tape, time, and unnecessary costs;
- Customer service training—training to cultivate excellent customer service values in employees and give them the skills to deliver service across a wide range of customer types and behaviors;
- Removing barriers—empowering employees to deliver excellent service and removing managerial and workplace barriers that stand in their way; and
- Activity-based cost management—knowing the real cost of doing business by capturing cost data.

Action to achieve this goal also includes maintaining a high level of stewardship for Federal funds, which means improving management controls over FEMA programs and finances. FEMA's Strategic Plan is supported by a "Financial Management Status Report and Five-Year Plan" dated September 1997, which outlines the agency's actions and plans to:

- Improve financial management systems;
- Implement the Government Performance and Results Act;
- Issue accounting standards and financial statements;

- Develop human resources;
- Improve management of receivables;
- Ensure management accountability and control;
- Modernize payments and business methods;
- Improve administration of Federal assistance programs; and
- Manage and administer the Disaster Relief Fund.

In March 1997, FEMA reported to Congress on actions taken regarding “Improving Management Controls on the Disaster Relief Fund.”

Strategic Goal 3 will be accomplished in compliance with laws and regulations that apply to agencies in conducting their affairs, including those promoting workplace health and safety, non-discrimination and equal rights, fair competition in procurement, environmental protection, and freedom of information.

### **Strategic Objective 3.1. By FY 2007, improve by 20 percent the efficiency with which FEMA delivers its services.**

**Performance Measure.** Over the next 10 years, each FEMA directorate and office will reduce the per-unit cost of 2 to 3 major functions by 20 percent each. Operating and delivery costs, technical requirements, equipment costs and improvements in work processes will be measured. The directorates and offices also will demonstrate a 20 percent increase in productivity, either by expanding services or by reducing burdens on customers and partners through such actions as, improved decision-making, collecting and maintaining more consistent data, improving delivery time, and reducing red tape. FY 1998 is the base year for this performance measure.

### **Strategic Objective 3.2. By FY 2007, achieve and maintain 90 percent overall customer satisfaction, internal and external, with FEMA services.**

**Performance Measure.** Overall customer satisfaction with the delivery of FEMA services will be assessed by surveys. Both internal and external customers will be surveyed in person, or by telephone or mail. The change in customer satisfaction scores will be monitored over time. An in-house tracking system will tabulate secondary performance measures that include items such as employee attendance rates, equal rights and union complaints, employee ratings of supervisors, and media reports.

# Efficiency Strategy

This strategy is aimed at improving the internal efficiency of delivering FEMA services. It applies to delivering service both to external partners and customers, and to the services that are provided by organizations within the agency as they serve and support each other. This requires, first, that all FEMA organizations develop mechanisms to capture the cost of doing business. Second, it means that each organization must identify one or more of its major business processes and re-engineer them to achieve an efficiency improvement while maintaining a high degree of customer satisfaction with the service.

The efficiency strategy does not include reducing benefits to the American public to save money. It refers only to reducing the cost to the Federal taxpayer of delivering the benefit or service set by law. Much attention has been focused on identifying ways to reduce the long-term costs of disasters to the nation. This can only be achieved by investing more effort and resources in building disaster-resistant communities. Reducing costs to the Federal taxpayer by reducing program eligibilities and, therefore shifting the cost to State and local taxpayers or private entities, is a decision only the Congress can make. FEMA's role is to assure that benefits or services set by Congress are delivered to the satisfaction of the public at the least possible cost.

## 5-Year Operational Objectives

**5-Year Operational Objective:** Decrease by 25 percent the average time it takes to deliver pre- and post-disaster mitigation grants to States.

**Lead Organization:** Mitigation Directorate

**Performance Measure:** Analysis of records in the mitigation grants database.

**5-Year Operational Objective:** Complete activities for the revision of the NFIP to enhance the financial soundness and equity of the Program.

**Lead Organization:** Federal Insurance Administration

**Performance Measure:** Completed development of required studies, analyses, legislative and regulatory proposals and processes required for implementation of the program, e.g., studies of alternative coverages and rates, and approval/acceptance of key products needed for implementation.

**5-Year Operational Objective:** Working with industry partners and the Chief Financial Officer, confirm NFIP integrity and ensure that program delivery efficiently meets or exceeds required customer-service and other standards.

**Lead Organization:** Federal Insurance Administration

**Performance Measure:** Positive financial, customer-service, and other evaluation reports, including unqualified audit reports.

**5-Year Operational Objective:** Refine response and recovery program delivery to effect a 10 percent increase in cost efficiency.

**Lead Organization:** Response and Recovery Directorate

**Performance Measure:** Comparative analysis in cooperation with OFM of Disaster Relief Fund administrative costs. The objective will be measured in 1997 dollars from the 1996-97 baseline.

**5-Year Operational Objective:** Improve by 15 percent the efficiency with which USFA delivers its services.

**Lead Organization:** United States Fire Administration

**Performance Measure:** Cost per user of the National Emergency Training Center, i.e., course development, delivery, and administrative and educational program support.

**5-Year Operational Objective:** Provide policy guidance and support to program offices in developing information technology investment proposals to improve services and reduce per-unit costs.

**Lead Organization:** Information Technology Services Directorate

**Performance Measure:** Responds to requests for assistance in developing investment proposals within 48 hours. Develops planning and budget analyses that support improvements in information technology services or reductions in costs of 5 percent per annum.

**5-Year Operational Objective:** Improve efficiency and reduce costs by 3 to 5 percent each year for providing exemplary operational support and services in the areas of security, logistics, and occupational health and safety.

**Lead Organization:** Operations Support Directorate

**Performance Measure:** Feedback from agency-wide customer service surveys; cost savings as reflected in annual operating and spending plans.

**5-Year Operational Objective:** Improve the efficiency and effectiveness of the grants management process to both better project costs and close out grants in an expeditious manner to reduce costs.

**Lead Organization:** Office of Financial Management

**Performance Measure:** Number and percent of quarterly grant financial status reports that are: received on time; identify problems requiring remedial action; and identify needs for which remedial action is taken. Grants closed out at the end of the original grant period; accuracy of grant dollars projected to be needed for each disaster; declining unexpended grant obligations; and amount of grant dollars deobligated of unliquidated obligations.

**5-Year Operational Objective:** Improve the efficiency and effectiveness of agency debt-collection and reduce the cost of collections.

**Lead Organization:** Office of Financial Management

**Performance Measure:** Referring 100 percent of debts 180 days delinquent to Treasury for collection; weekly submission of new debtors to the New Treasury Offset Program 120 days after debt is incurred; number and percent of delinquent debts reported monthly to credit bureaus 95 days after debt is incurred; number and percent of debtors who owe less than \$3,000 sent to PAYCO for collection 180 days after debt is incurred and who owe more than \$3,000

who are referred to the Department of Justice 180 days after debt is incurred; amount of dollars and percent of outstanding debt collected by each debt collection method; and cost of collecting each dollar collected.

**5-Year Operational Objective:** Provide quality financial services to customers using modern technology to speed transaction processing and reduce costs.

**Lead Organization:** Office of Financial Management

**Performance Measure:** For travel vendor processing, 100 percent of completed travel vouchers are paid within 5 days of receipt by the payment office. For vendor payment processing, 100 percent of all payments are issued within 30 days, and the number of discounts lost does not exceed 5 percent of the number of discounts taken.

**5-Year Operational Objective:** Decentralize and streamline the procurement of goods and services using the Integrated Financial Management Information System thus reducing costs of procurement.

**Lead Organization:** Office of Financial Management

**Performance Measure:** Number and percent of requisitions and commitments for services and supplies completed at the program office level entered directly into the financial management system; dollar value of purchases using commercial credit card above the FY 1997 base.

**5-Year Operational Objective:** Increase use of performance-based contracts to provide more measurable contractor performance standards and improve the overall effectiveness of the agency's contracts.

**Lead Organization:** Office of Financial Management

**Performance Measure:** Number of contracts converted to performance-based concepts, including well defined, measurable performance-based requirements; and the use of incentives and improved administration to increase contract performance.

**5-Year Operational Objective:** Provide accountability by implementing comprehensive accounting standards issued by Treasury, the Office of Management and Budget, and the General Accounting Office, which require financial reports to demonstrate how FEMA's money is spent.

**Lead Organization:** Office of Financial Management

**Performance Measure:** Level of formalization and documentation of accounting and reporting procedures; timely preparation of trial balances and annual reports for all statements; completion of audited financial statements for all FEMA activities, including the Disaster Relief Fund and the NFIP, beginning in 1998 and continuing annually thereafter; preparation of consolidated accountability report; unqualified audit opinions beginning in 1999.

**5-Year Operational Objective:** Manage the agency's strategic planning process to meet the requirements of the Government Performance and Results Act and ensure consistency with state Performance Partnership Agreements.

**Lead Organization:** Office of Policy and Regional Operations

**Performance Measure:** Plans in place that meet statutory requirements; PPAs with the states that reflect the strategic goals and objectives contained in this plan.

**5-Year Operational Objective:** Improve operational efficiency by 10 percent.

**Lead Organization:** Each directorate and staff office

**Performance Measure:** Comparative analyses of administrative costs.

**5-Year Operational Objective:** Streamline and improve the professional quality of the environmental review function.

**Lead Organization:** Office of Policy and Regional Operations

**Performance Measure:** Cost and time required to process environmental reviews.

## Authorities

The legal authority supporting the efficiency strategy includes the Government Performance and Results Act; the Chief Financial Officer Act of 1990; the Electronic Freedom of Information Act; the Information Technology Management Reform Act of 1996; the Inspector General Act of 1978; and the Paperwork Reduction Act of 1995. Recent congressional and Executive Branch efforts have placed a new emphasis on ensuring that all Federal departments and agencies, when managing their personnel and financial resources, improve the efficiency and effectiveness of their programs, functions, and activities; and make their operations more responsive to the citizens of the United States.

## Technology

FEMA develops and applies information technology to facilitate and improve control of business processes. In line with the provisions of the Clinger-Cohen Act and Office of Management and Budget guidance and to maximize limited resources, FEMA develops information technology (IT) assets as a coherent, unified, business portfolio.

The core of the agency's IT approach has been the development of the FEMA IT enterprise architecture, by which the planning, budgeting, and development of information services will be organized. The objectives of the architecture are to provide a standardized infrastructure, leverage current capital investments, empower a more robust exchange of information within FEMA and with its customers, and to provide a blueprint for specific technology solutions. By pursuing an integrated agency-wide approach to IT enterprise architecture, FEMA has identified the potential for sharing resources, for eliminating redundant capabilities, for realizing significant cost savings, and for expanding the range of services and operations.

To be effective and realize the strategic objectives, FEMA will plan, develop, and operate the information services in a technical and corporate management environment. FEMA no longer plans, budgets, builds, and operates IT projects independently of each other or of the agency architecture, nor does FEMA build and operate them solely by program office.

## Year 2000 Compliance

FEMA has implemented a program management plan to ensure Year 2000 compliance. The approach is based on life cycle management, with each phase of the life cycle having a series of recommended steps, measurable objectives, and estimated timelines. The plan includes a project schedule that includes performance measures and timelines associated for each phase and step.

The effort has promoted awareness of the extent of the problem in the form of guidance and on-site visits, and provided oversight through the use of a uniform methodology and a standardized process for project management, assessment, dissemination of information, and reporting. Data collection and performance measures will be defined and baselines established against which future performance can be measured. The planned resolutions include (1) replacement of the present operational systems by the year 2000 with newly developed systems and applications that will process dates correctly in the year 2000; (2) repair of systems (re-code existing code) that cannot be replaced by the year 2000, so the system will function beyond the year 2000 without disruption of operations; (3) retirement of systems, that are found to be redundant; and (4) move users to other operational or newly developed systems to save on re-coding and development costs.

FEMA has implemented a baseline standardization program that has minimized Year 2000 noncompliance at the individual workstation level. Products in the standardization program are or will be Year 2000 compliant. Waivers are required for use of non-standard hardware or software.

## **Information Security Strategy**

FEMA information security strategy focuses on protecting major applications systems that are, by definition, high risk because of the magnitude of harm may result from the loss, misuse, or unauthorized access to or modification of information in the applications. In compliance with OMB Circular A-130, FEMA requires security controls in parallel with application systems life-cycle process. Managers are responsible for integrating security safeguards into every phase of each application's life cycle to protect the confidentiality, integrity, and availability of information resources used in support of FEMA's mission.

As FEMA develops and integrates major applications and information systems into an enterprise network, the information security program must identify and assess the vulnerabilities within the enterprise network. A formal risk analysis has identified the following vulnerabilities: physical, remote, and local access; application level control; communications links; and data entry. Data entry is controlled so that only designated personnel may change or edit data entered previously. Data entry activities are separate from the approval of a financial transaction to reduce opportunities for fraud. Audit trails exist for each user and each transaction.

Because of FEMA's disaster response functions, the agency must use distributed and remote data processing, which introduces vulnerabilities through the communications links that connect these facilities. Data and application protection is needed to prevent unauthorized access to the systems. To ameliorate the possibility of contamination of data, FEMA programs run on dedicated hardware. The FEMA Switched Network allows for dynamic routing and redundant paths through the network, which reduce the likelihood of network communications disruption. Too, FEMA has established an enterprise security manager position and an incident response team. Internet firewalls protect agency data from unauthorized intrusion. FEMA also has installed intranet firewalls to protect sensitive data, financial records, and classified operations.

## **Program Evaluation**

Program evaluation for this strategy involves implementing the principles of activity-based cost management. This means being able to chart business processes accurately, baselining costs of current processes, streamlining procedures, monitoring life-cycle costs, and managing to contain costs. These concepts will be applied in all FEMA organizations over the life of this Strategic Plan. This approach, however, is not currently in place within the agency. Efforts to implement the Government Management Reform Act and the Chief Financial Officers Act have begun to put mechanisms in place to increase evaluation efforts to support this efficiency objective.

## **Customer Service Strategy**

Customer service is a key element of FEMA's strategic plan. FEMA's initiatives include benchmarking performance, setting standards, and surveying internal (FEMA employees) and external (the public and emergency management partners) customers to determine the extent to which customer satisfaction is improving. It also focuses on building skills and instituting programs that provide high-quality service that exceeds the expectations of FEMA's customers. The customer service program supplies valuable information that assists in identifying barriers to performance and measuring progress towards achieving the agency's strategic goals.

The customer service strategy seeks to:

1. Create a highly productive, customer-driven workforce that provides services that meet or exceed customer expectations.
2. Institutionalize better and more cost-effective service-delivery systems.
3. Refine data collection, databases and performance measures for the agency's strategic plan and establish baselines against which future performance can be measured.

## 5-Year Operational Objectives

**5-Year Operational Objective:** Institutionalize and manage an agency-wide customer service program that produces a better and more responsive service delivery system.

**Lead Organization:** Preparedness, Training and Exercises Directorate

**Performance Measure:** An agency-wide process for continuously identifying customer satisfaction and making needed improvements.

**5-Year Operational Objective:** Achieve at least 90 percent overall internal and external customer satisfaction.

**Lead Organization:** Each Directorate and staff office

**Performance Measure:** Customer service surveys and customer service database.

**5-Year Operational Objective:** Create and reinforce existing partnerships, implement an outreach, information, and coordination program that assures regular, effective communication with those concerned about the NFIP.

**Lead Organization:** Federal Insurance Administration

**Performance Measure:** Survey measurements of selected constituencies, development of baseline indices of awareness and support, and setting of objectives for percentage increases.

**5-Year Operational Objective:** Enhance reliability and timeliness of FEMA's operations by improving and expanding FEMA-wide customer services for information technology operations, trouble reporting, maintenance, or technical services.

**Lead Organization:** Information Technology Services Directorate

**Performance Measure:** Response by Help Desk to trouble calls within 24 hours and resolution of problem on first visit 80 percent of the time. Availability of on-line services at 98 percent; reduction of mean length of downtime by 20 percent. Customer ratings for timeliness, courtesy, appropriate mix of services, and expertise of 80 percent. Improvement in accessibility by the disabled to FEMA's public information and on-line services.

**5-Year Operational Objective:** Revise and coordinate changes to key Executive Orders, principally E.O. 12148 and E.O. 12656, to support Strategic Plan objectives.

**Lead Organization:** Office of the General Counsel

**Performance Measure:** Concurrence of draft Executive Orders by other Federal Departments and agencies and signature by the President.

**5-Year Operational Objective:** Improve workplace health and morale; achieve full, efficient, and effective compliance with various Federal statutes that have an impact on the Federal workforce and workplace; and reduce overall formal and informal litigation caseloads, adversary proceedings, and administrative claims and appeals by establishing an agency-wide risk management program.

*The purpose of the risk management program is to enhance morale and reduce claims and accidents by systematic introduction of risk management concepts into daily administration of FEMA programs, functions, and activities. Compliance with Federal health, safety, environmental, security, equal rights, ethics, and other generic Federal standards applicable to the Federal workforce and facilities management will be addressed.*

**Lead Organization:** Deputy Director, with support of all directorates and staff offices

**Performance Measure:** Reduction of claims, reported incidents, litigation and other disputes, and non-compliance with Federal workforce and facility management statutes.

## Authorities

The legal authority supporting the customer service strategy is the Executive Order, **Setting Customer Service Standards**, dated September 11, 1993. This Executive Order is aimed at improving satisfaction among customers and the public with the activities of the Federal Government. A presidential memorandum, **Improving Customer Service**, for heads of Executive departments and agencies, dated March 22, 1995, required training, changes in processes and procedures, and, in some cases, redesign of program delivery procedures to improve customer satisfaction.

## Technology

Software, such as the DGCS, will be used to establish the baseline from which to measure customer satisfaction and to periodically assess progress. The EIIP will supplement direct information available from customers served by FEMA.

## Program Evaluation

Program evaluation for this strategy consists of surveying internal and external customers periodically to determine levels of satisfaction. The measures will be evaluated through scheduled surveys and periodic information obtained by the DGCS software.

# How We Will Get There: Strategic Management

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FEMA's strategic plan is the cornerstone of its management system. The basic concepts of strategic planning are being integrated throughout all levels of the agency. The purpose of stressing strategic planning is to focus all agency management and evaluation processes and resources—fiscal, technological, and human—on achieving a single set of goals.

## Implementing the Plan

All organizations within FEMA have specific responsibilities to ensure that the Strategic Plan is implemented effectively. The Office of Policy and Regional Operations is responsible for coordinating the agency's approach to strategic management for the Director. That role includes:

- Guiding the agency's managers and staff through a process of strategic planning to obtain commitments on performance requirements of GPRA;
- Involving our partners in emergency management and major constituency groups in the development and execution of the Strategic Plan;
- Ensuring that Performance Partnership Agreements with State and local emergency management organizations support the Strategic Plan;
- Insuring that the plan is communicated within and outside FEMA;
- Assigning responsibilities in the GPRA process;
- Monitoring progress of organizations with FEMA that have the lead responsibility for various aspects of Strategic Plan implementation;
- Overseeing the agency's program evaluation process and changes to the Plan;
- Insuring coordination with the Chief Financial Officer to insure that efforts to meet requirements of the GPRA, the Chief Financial Officers Act, the Government Management and Results Act, and the Clinger-Cohen Act are well coordinated;
- Monitoring efforts to re-engineer FEMA management systems to support FEMA's strategic management approach; and
- Controlling changes to the Plan and coordinating changes with all interested parties.

# Communicating the Strategic Plan

## To FEMA Employees

FEMA employees have had the opportunity to contribute in the process of developing the Strategic Plan—both directly as individuals and as part of their respective organizations. Managers normally engaged in the budget formulation process have been informed of the content of the plan and they are now preparing future budget requests (FY 1999 and beyond) to track with the Strategic Plan and the 5-year operational objectives for their respective function. Once the plan is finalized and submitted to Congress, a major effort will be undertaken in the agency to make all employees aware of it and their roles in obtaining the performance sought. The Office of Policy and Regional Operations is responsible for efforts to communicate the plan. This effort includes:

- Preparing a summary of the Plan in a simplified form;
- Giving every employee a copy of the Plan;
- Posting the Plan to the agency's internal electronic bulletin board;
- Notifying employees about the Plan in the Director's Weekly Update (FEMA's most widely read internal newsletter);
- Briefing FEMA employees on the Plan in routine staff meetings;
- Developing a summary training module to be used in conjunction with other employee training; and
- Videotaping a segment about the plan for use at remote locations.

## To Constituency Groups and the Public

Throughout the development of the Strategic Plan, FEMA has sought input from our major partners and constituency groups. Interactions have focused most intensely on our other Federal agency partners and our emergency management partners at the State and local level. Through its intergovernmental role for the agency, the Office of Policy and Regional Operations will distribute the final Strategic Plan to Governors of all States and territories and the State Directors of Emergency Services through the National Emergency Management Association (NEMA). Distribution and presentations on the plan will also be made to professional associations such as the National Coordinating Committee on Emergency Management (NCCEM), the National Association of Counties (NACO), the International City Managers Association (ICMA), National Association of Flood Plain Managers (NAFPM); the National Public Works Association (NPWA), and associations representing the nations emergency first responders such as fire, emergency medical services, and law enforcement. The FEMA Strategic Plan will be available to the public through the Internet on FEMA's website.

## Program Evaluation and Monitoring Performance

When FEMA drafted its first Strategic Plan in 1994, a thorough review was made of all program evaluation related documents. These included after-action evaluations identifying

problems in disaster responses to Hurricanes Hugo, Andrew, and the Loma Prieta Earthquake. The National Association of Public Administration (NAPA) evaluated FEMA performance after Hurricane Andrew in a 1993 report titled, "Coping with Disaster: Building an Emergency Management System to Meet People's Needs in Natural and Man-made Disasters." An internal FEMA Emergency Response Study Group conducted its own evaluation that also summarized the findings of all other evaluations available at that time. The General Accounting Office published a report in July 1993 titled "Disaster Management: Improving the Nation's Responses to Catastrophic Disasters." The Congressional Research Service (CRS) summarized evaluations of FEMA in a CRS Issue Brief in 1994 titled "Disaster Management." These evaluations helped shape FEMA's reorganization and first Strategic Plan which is updated in this version.

In addition to the attention given FEMA programs by outsiders such as the GAO, evaluations are conducted by the FEMA Inspector General and program evaluation is a continuous effort at FEMA. After each disaster operation, evaluations are conducted to identify problems that need to be corrected. FEMA routinely conducts or participates in national exercises or emergency-specific exercises. In the course of these events, after-action reports or a list of remedial actions are generated to highlight and call attention to operational deficiencies and areas needing improvement. Such deficiencies are automatically addressed in due course, before the next exercise cycle. This serves as an automatic, self-evaluating process for program improvement. Evaluation systems for identifying corrective actions for emergency management are an essential part of emergency management doctrine, training and operations.

In addition to these traditional evaluation methods, FEMA will continue to invest significant effort in the evaluation approach involved in what is commonly known as "Business Process Re-engineering (BPR)." FEMA will use such processes to streamline programs and processes in order to improve customer service, reduce administrative costs, increase management and financial controls, and better comply with Federal laws and regulation. A major training program in management techniques will soon be started. Program evaluations and re-engineering are currently underway in the Disaster Assistance Program (the Public Assistance Grant Program and disaster closeout process), the agency's grants management activity and the environmental review activity.

FEMA has attempted to devise objectives that include their own performance statements. The data collected as part of the measurement process will immediately indicate success or failure with little additional analysis. The data will indicate the results and program evaluation will focus on identifying the most cost-effective approaches to getting results.

Performance of FEMA organizations in implementing the Strategic Plan will be reviewed formally by the Director on an annual basis with the head of each FEMA organization. This will be done in conjunction with the budget formulation process before submission of the budget request to OMB in September of each year. Each Associate Director, Administrator and Office Director will review their organization's performance at least semi-annually. The results of these reviews will be published in an agency performance report.

## **Re-Engineering to Support the Strategic Plan**

To support the agency's concept of strategic management, internal processes are being designed to support and reinforce implementation of the Strategic Plan. The Employee Performance System has been redesigned to more closely connect accomplishment of goals, customer service, work process improvement, and agency values into the performance rating process. The Rewards and Recognition System has been re-engineered. Contribution to FEMA strategic goals and agency values is now the only way to earn a monetary or non-monetary award in the agency.

Focus will shift to insure that information and financial processes capture performance data that can be related to financial data for audited financial statements. It is anticipated that the Strategic Plan will promote changes in the agency's account code structure, but no changes are anticipated in the agency's budget structure. Major changes were made in the budget structure in 1995 to align it with the agency's organization and strategies for obtaining goals and objectives.

# Partnerships and Cross-Cutting Functions

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FEMA's mission is to *lead* and *support* various elements of society in responding to and recovering from disasters rather than *be responsible* for reducing the loss of lives and property. This mission mandates that FEMA's work be inseparable from that of other entities having a role in dealing with the consequences of disasters. The partnership concept, therefore, is embodied in values, strategies, and in cooperative planning with other Federal, State, and local groups and representatives; voluntary organizations, such as fire departments and the American Red Cross; business and industry; professional organizations, such as those that recommend building codes, develop consensus construction standards, and make land-use determinations; and other responders. The concept of partnerships is strengthened in FEMA's Vision statement and, indeed, titles this plan.

Some of the specific, ongoing partnerships in which FEMA engages are:

- *FRP*. A consortium of 28 Federal agencies, led by FEMA, developed and continues to maintain and revise the FRP as needed. FRP planning is conducted cooperatively, through a group consensus process.
- *Federal Radiological Emergency Response Plan (FRERP)*. The FRERP is an interagency Federal plan in support of State and local governments for responding to radiological emergencies.
- *PPAs with the States*. These Federal/State agreements set out long-term goals, objectives and strategies that address the impact of hazards. PPAs, a product of the National Performance Review, changed the assistance relationship between the Federal government and the States to give the States more flexibility and reduced administrative burden in exchange for increased accountability for achieving measurable results.
- *Cooperative Agreements (CAs)*. Through CAs, FEMA provides Federal funding and technical assistance to each State for activities that contribute to accomplishment of State objectives in the PPA.
- *Advisory groups*. FEMA makes broad use of public advisory groups to ensure that the widest possible spectrum of stakeholders have a say in the way FEMA carries out its responsibilities. The Technical Mapping Advisory Council, for example, reviews and makes recommendations regarding agency activities related to floodplain mapping.

One of the most notable partnerships is with the insurance industry. FEMA mitigation programs, which are designed to reduce losses, are tied to insurance. The partnership is necessary to ensure that FEMA Disaster Relief Fund grants do not duplicate insurance reimbursements. The Federal Insurance Administration that provides flood insurance in return for floodplain management is a unit of FEMA; and insurance is considered by many to constitute an aspect of mitigation.

Other especially important partnerships are those with agencies that help to predict areas in which natural disasters are likely to occur and in analyzing their effects. The National Oceanic and Atmospheric Administration of the U.S. Department of Commerce is particularly helpful when hurricanes and tsunamis threaten coastal areas. The U.S. Geological Survey, a part of the Department of the Interior, helps to deal with seismic events—earthquakes and volcanic eruptions. The National Weather Service shares information as it monitors impending and active events, such as tornadoes and cyclones. The National Institute of Science and Technology (NIST) conducts research in the building sciences and contributes to the development of performance standards for buildings and lifelines.

Mitigation is also seen as primarily a community activity supported by individuals, States, and FEMA. FEMA facilitates effective community action by supplying data and information about mitigation, such as construction standards and techniques to improve the resistance of structures to the effects of natural hazards and disasters, and techniques to reduce the vulnerability of specific locations (e.g., coastal zones) to disasters. FEMA also facilitates effective local mitigation through programs to educate the public about the need for mitigation and encourage local elected officials in vulnerable communities to make mitigation a public policy priority. This kind of partnership is integral to FEMA's mission and goals.

FEMA's partnerships with States and groups representing states are strong as well. FEMA provides funding for State Hazard Mitigation Officers, who form the core contact points for our partnerships with States. States, under grant arrangements through the PPAs, have agreed to adopt these strategic goals in their own emergency management efforts. This means that States and FEMA will be working toward the same goals, although their quantitative objectives may differ. Further, the States and FEMA will work jointly to (1) develop a universally accepted risk assessment methodology—thus standardizing this component of disaster management and eliminating costly negotiations; (2) consider and implement ways in which to improve collaborative processes; and (3) establish a mechanism by which barriers to collaboration will be examined systematically and then eliminated or alleviated.

NEMA and the Association of State Floodplain Managers are two of the groups comprising State officials that meet regularly with FEMA staff. A formal partnership with NEMA was established at FEMA's suggestion, and was defined in "A Call to Action" issued by NEMA in July 1997 and endorsed by FEMA. The partnership team meets periodically to reflect, review, critique, and recommend relevant and realistic changes to the way programs are conducted to achieve a more effective national mitigation capability.

FEMA has leadership responsibility for the nation's emergency management system, which includes Federal agencies as partners. Emergency management roles are specified for all agencies in various executive orders, especially EO 12656. Disaster response and recovery roles cross-cut 28 Federal agencies and the Red Cross, which participates with FEMA in disaster operations guided by the FRP. Great effort is made before disaster strikes to ensure that every agency understands its role and that unnecessary duplication is eliminated and not overlapping.

The U.S. Fire Administration works in partnership with the U.S. Department of Housing and Development in support of improved fire safety in manufactured housing; NIST in efforts to improve fire and life safety through advanced research and development; the National Fire Protection Association, in support of codes and standards development, a major tool in mitigating the effect of fire in the United States; the Consumer Products Safety Commission in identifying consumer products experiencing fire problems and taking actions; and the National Association of State Fire Marshals, which serves as a liaison between Federal interests and the men and women providing a wide range of emergency services in virtually every community in the United States; and with major groups representing the fire community. NFIRS represents one of the most successful Federal, State, and local partnerships. It is managed through a partnership between the

Fire Administration and the National Fire Information Council, an organization comprising State and Metropolitan Fire Department NFIRS program managers.

FEMA has reviewed the strategic plans of 15 Federal agencies having major roles related to emergency management. Several have identified their disaster-related roles. None of the plans duplicates or adversely overlaps FEMA functions. Agencies either identify distinctly different functions, which contribute in a partnership to the emergency management mission, or they complement FEMA objectives. A summary of the analysis of agency plans is available on request.



# External Factors

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Many challenges must be overcome before the vision of a “Partnership for a Safer Future” becomes a reality.

The first challenge is the effectiveness of the emergency management partnership. How well the entire emergency management community functions will affect FEMA’s ability to meet the goals and objectives stated in this plan. Although FEMA provides leadership and coordination, State and local governments are ultimately responsible for protecting their citizens from harm. Only when their capability and resources are not adequate to respond to a disaster does the State turn to the Federal Government for assistance; and only then does FEMA step in to coordinate the Federal response and provide recovery services. For example, decisions about land-use and the adoption and enforcement of building codes are generally made at the local and State levels. The Federal government can provide leadership to increase awareness of the need to adopt and enforce sound measures, provide incentives and limited funding, and lead by example with regard to mitigating Federal facilities. Individuals, businesses, and community officials, however, are ultimately responsible for the zoning and building practices that will reduce or increase the potential for a community to be damaged by a disaster.

The second challenge is the availability of resources. Like the Federal government, State and local government resources are being stretched and are in growing demand. The ability of State and local governments to effectively carry out preparedness, mitigation, response, and recovery responsibilities may be diminished and require them to increasingly turn to the Federal Government for assistance. The continued support of the Administration and Congress will be necessary to ensure that significant downsizing in the Federal government does not impact its ability to carry out its emergency management responsibilities. Resource levels of FEMA to plan and execute its mission may shrink, or at best, may remain constant. This opens the possibility of severe impacts on FEMA operations and ultimately on our customers. If FEMA’s full-time personnel resources are reduced further, the agency’s ability to respond quickly and effectively to major unforeseen events may become impaired.

The third challenge in achieving the goals and objectives of this strategic plan is the frequency and magnitude of disasters. FEMA’s response and recovery objectives are based on “typical” disasters, not on extraordinary or historically unprecedented ones. At every level of government, many of the individuals who are preparing for disasters or trying to mitigate their effects are the same individuals that must stop their work and respond on an emergency basis. Many of the individuals who are working to re-engineer plans and processes must give first priority to the operational requirements of the crisis of the day. By its very nature, emergency management requires shifting resources to insure that the current disaster operation is well served. It is very difficult to predict the level of effort available to build and improve the performance and efficiency of the national emergency management partnership when resources remain constant or decrease when the disaster operations workload seems ever increasing and compounding.

The fourth challenge relates to new systems development. One of the major ways that FEMA has succeeded in reducing administrative costs is to capitalize on new technology to reduce labor costs and speed up business processes. This often requires an increased short-term investment in hardware and software to get a longer-term savings. Major investment in new electronic systems, such as those underway at FEMA, often require many years to amortize and return savings. Anticipated efficiency gains contained in this plan are built on many assumptions regarding the time required and costs associated with new systems development and implementation. Although these assumptions and objectives are reasonable, a great deal of

uncertainty and risk are associated with them. Efforts to overcome these uncertainties include expanding management controls in the development process, expanding the use of outside experts, involving users extensively in identifying systems requirements, making maximum use of off-the-shelf software, using state-of-the-art development tools and processes, and using third party evaluation and cost estimates.

# Conclusion

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FEMA has an important place in our governmental system. The preamble to the Constitution specifies the duty of the Federal Government to “promote the general Welfare” of citizens. In helping communities to prepare for, mitigate, respond to, and recover from the horrific consequences of disasters, FEMA plays a central role in promoting the general welfare.

Even though nature’s fury cannot be controlled, we know how to reduce the potential for tragic losses from natural hazards and the disruption of families and communities. As new knowledge emerges and technologies evolve, we will continue to do it better. This plan and its integration into all management systems and decisions at FEMA focuses our efforts on that priority and on the outcomes that Americans expect from their emergency management system: protection of lives and property, reduction of human suffering, help for communities to recover, and fast, high-quality service.



# Appendix A: FEMA Regional Offices

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# Appendix B:

## Development of the Plan

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When James L. Witt was sworn in as FEMA Director in April 1993, through direct consultations with our State and local partners, he established a vision for emergency management, an agency mission and goals that were reflected in the first-ever FEMA Strategic Plan, published in 1994.

Also in 1994, as a result of the Vice President's National Performance Review, FEMA moved to implement Performance Partnership Agreements (PPAs) with the States. As part the PPA process, nomenclature and definitions used were consistent with the Government Performance and Results Act, and grants to the States were tied directly to FEMA's strategic goals and objectives.

During the development of this Strategic Plan, training was provided to ensure consistency and a common approach. Over 300 individuals in the States and in FEMA headquarters and regions received training on the principles of strategic planning and development of performance measures.

The updated draft plan, dated May 15, 1997, was distributed to 50 States, 20 outside constituent organizations, 55 emergency management officials, 32 Federal agency GPRA points of contact, and approximately 2,400 FEMA employees. Consultations were held with the Consumer Product Safety Commission, Small Business Administration, U.S. Army Corps of Engineers, and the Environmental Protection Agency. The draft plan was also posted on the FEMA Website; 591 individuals logged on and called up the plan. The availability of the plan was also announced to the FEMA Internet news distribution list, including 2,700 organizations and individuals around the world.

Distribution of the May 15, 1997 draft plan was made to the following U. S. House of Representatives Committees: Appropriations Subcommittee on HUD, VA and Independent Agencies; the Transportation and Infrastructure, Full Committee and Water Resources Subcommittee; and Science. Distribution was also made to the following U.S. Senate Committees: Appropriations, Full Committee and Subcommittee on HUD, VA and Independent Agencies; Environment and Public Works; Commerce, Science and Transportation; Government Affairs; and Banking, Housing and Urban Affairs.

A total of 52 comments were received on the draft plan. Commentors included 13 Federal departments and agencies; 11 States; 4 localities; 8 private organizations; 1 business/commercial interest; and 15 individuals. Comments were also received from, and discussions held with, the General Accounting Office and the U.S. House of Representatives staff.

The comments indicated general concurrence with the vision, mission, goals, objectives and strategies set forth. Major issues raised in collaborative discussions included the need for greater specificity in the discussion of performance measures, strategies, program evaluation, and major management issues. Based on the discussions, further detail was provided in the final version of the plan.

This Strategic Plan was developed internally by FEMA managers and employees. Some contractor assistance for training was provided.

# Appendix C: Resources

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## Introduction

This Appendix describes the general level of resources that FEMA expects to devote to various strategies to meet strategic goals. The precise funding for any year in the future is unknown at this time. Therefore, it is impossible to predict the resource allocation over the complete life of the Strategic Plan. The Annual Performance Plan submitted with the President's budget request to Congress will outline the anticipated distribution of resources by Strategic Goal, Strategy, 5-year Operational Objective, and Annual Performance Goal for that budget year. The approximate percentage of resources presented below provide a general perspective of how the President's request to Congress for FEMA for FY 1998 supports each Strategic Goal and Strategy. These percentages will change to reflect the budget actually passed by Congress, and approved spending plans.

## Goal 1

### Mitigation

For FY 1998, approximately 17 percent of FEMA's total workyears (less temporary workyears supported by the Disaster Relief Fund) are devoted to the mitigation strategy. Skills required to carry out the strategy include engineering (hydraulic and structural), land-use planning, earth science (geology, geophysics, seismology), modeling, and geographic information system computer skills.

Approximately 15 percent of FY 1998 Emergency Management Planning Assistance (EMPA) funding will be allocated to carry out the mitigation strategy.

### Preparedness

For FY 1998, approximately 35 percent of FEMA's total workyears (less temporary workyears supported by the Disaster Relief Fund) are devoted to the preparedness strategy. Skills required to carry out the strategy include emergency management planning, exercise design and evaluation, technical knowledge in the health effects and protective measures associated with hazardous materials (e.g. nuclear, biological, and chemical agents), safety concerns related to nuclear power plants and chemical weapons disposal, disaster response and recovery operations, training design and delivery, and customer service principles and techniques.

Approximately 78 percent of EMPA funding will be allocated to carry out the preparedness strategy.

## Goal 2

### Response and Recovery

For FY 1998, approximately 43 percent of FEMA's total workyears (less temporary workyears supported by the Disaster Relief Fund) are devoted to the response and recovery strategy. Additional workyears for disaster reserve employees are supported by the Disaster Relief Fund. Skills required to carry out the response and recovery strategy include intergovernmental, interagency, and media relations; management of temporary work teams; ability to provide customer service; and specialized skills, such as those required for incident command, emergency operations, disaster field operations, logistics, and urban search and rescue.

Approximately 6 percent of total EMPA funding will be allocated to carry out this strategy. In addition, the Disaster Relief Fund and the Emergency Food and Shelter appropriations will be devoted to this strategy.

## Goal 3

### Efficiency and Customer Service

It is estimated that approximately 5 percent of FEMA workyears will be associated with efforts to improve operating efficiency and customer service.